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Individual and Institutional National Research Service Awards for Health Services Research

1986

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U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Public Health Service
National Center for Health Services Research
and Health Care Technology Assessment

HE 20.6512/8:

The National Center for Health Services Research and Health Care Technology Assessment (NCHSR) announces the availability of National Research Service Awards (NRSA) in health services research.

Individual National Research Service Awards will be made for postdoctoral research fellowships providing opportunities for academic training as well as experience in applying research methods to the systematic analysis and evaluation of the organization, financing, utilization and delivery of health care services.

Applications for individual postdoctoral research fellowships must be received on or before Friday, March 21, 1986. Applicants will be notified of review decisions by July 15, 1986. The earliest start date for research fellowship support will be September 1, 1986.

Institutional National Research Service Awards will be made for predoctoral and postdoctoral research training grants for support of students and to assist institutions in enhancing predoctoral and postdoctoral training opportunities for individuals selected by the institutions on the basis of a demonstrated interest and relevant background in health services research.

Applications for institutional research training grants must be received on or before Tuesday, April 1, 1986. Institutions will be notified of review decisions by July 15, 1986. The earliest start date for research training grant support is September 1, 1986.

NCHSR expects to have available about $1.22 million for National Research Service Awards during fiscal year 1986, subject to the availability of funding. Of this amount, about 25 percent is expected to be awarded for individual postdoctoral research fellowships and the remainder for institutional research training grants. Application and award procedures are described beginning on page 3 for individual fellowships and page 9 for institutional training grants.

Individual National Research Service Awards

The authority for NRSA is Section 472 of the Public Health Service Act, as amended (42 USC 289 l-1). Title 42 of the *Code of Federal Regulations*, Part 66, and the *Public Health Service Grants Policy Statement* are applicable.

Health services research deals with a broad range of issues, perspectives and methods pertinent to understanding and modifying health care systems. Systematic analyses and evaluations of the organization, financing, utilization and delivery of health care services often require collaborative efforts among various disciplines, employment of empirical approaches, and analysis of complex data sets. Applied health services research draws on a variety of conceptual and statistical models to address policy issues.

Postdoctoral training in health services research can contribute to the resolution of systemic and policy problems in several areas. NCHSR's extramural program addresses the entire range of issues around the organization, financing, and delivery of health services, with particular interest in primary care/health promotion and disease prevention, technology assessment, the role of market forces in health care delivery, and studies relevant to issues faced by State and local governments.

Research training should provide the conceptual and methodological foundation to empirically address, for example, such concerns as:

- Primary care issues, including the development of techniques to measure the effectiveness of follow-up care and to assess patient compliance
- Survey design and methods, and applied computer science
- The relationships between the allocations of health care resources and their effects on health status
- The factors affecting the dissemination and transfer of health care technologies, and the design of new methods to assess these technologies
- Protocols involved in cost-effectiveness and cost-benefit analyses
- Health problems of the frail and elderly population in order to identify and explain differences in the costs, quality of care, and organizational arrangements in caring for this population, studying such factors as the sources of funding, alternative modes of care, and the availability and nature of care provided by physicians and other providers, including informal support
- Postdoctoral training in the epidemiology of chronic illness, geriatric medicine, and health economics.

Eligibility

Applicants for postdoctoral fellowships must, at the time of application, be citizens of the United States, or noncitizen nationals, or noncitizens who have been lawfully admitted to the United States for permanent residence and have in their possession an Alien Registration Receipt Card (I-151 or I-551). (Noncitizen nationals are persons who, although not citizens of the United States, owe permanent allegiance to the United States. They are generally persons born in lands which are not States, but which are under United States sovereignty, jurisdiction, or administration, as for example, American Samoa.) Individuals on temporary or student visas are not eligible.

Postdoctoral applicants must have received, by the beginning date of the NRSA appointment, a Ph.D., M.D., or other relevant doctoral degree, or an equivalent degree from an accredited domestic or foreign institution. Applicants trained as physicians are especially encouraged to apply.

Certification from an authorized official of the degree-granting institution that all degree requirements have been met is acceptable.

Applications

Prior to making formal application, an individual applicant must be accepted by an appropriate institution, and by a sponsor who will supervise his or her training and research experience. The organizational setting must be nonprofit, either public or private. In the application, the sponsor will describe in detail the research training plan and the availability of suitable staff and facilities. Formal training is not necessarily limited to a single academic institution or discipline. The sponsor must be an established investigator who is active in health services research and who personally will supervise the applicant's training and research program.

Fellowship applications for continued training at the same institution or under the same sponsor should describe those opportunities for new training experiences which will broaden the applicant's scientific background.

Period of support. Applications may be for 1-, 2-, or 3-year fellowships. No one is eligible for more than 3 years of aggregate NRSA support at the postdoctoral level, including any combination of support from institutional training grants and research fellowships.

Documents to be submitted. Applicants must submit the original and 6 copies of Public Health Service form PHS 416-1, Individual National Research Service Award Application, to NCHSR at one of the following addresses:

Using the U.S. Postal Service, the address is:

Chief, Review and Advisory Services Program
(NRSA Fellowships)
National Center for Health Services Research
and Health Care Technology Assessment
1-52 Park Building
Rockville, MD 20857; 301/443-2345

Using a commercial delivery service, the address is:

Chief, Review and Advisory Services Program
(NRSA Fellowships)
National Center for Health Services Research
and Health Care Technology Assessment
1-52 Park Building
12420 Parklawn Drive
Rockville, MD 20852; 301/443-2345

Do not mail this application to the Division of Research Grants (DRG), NIH.

If the applicant is a noncitizen national, a notarized statement of permanent residence is required.

NRSA application material is available from NCHSR, Chief, Review and Advisory Services Program.

Submission deadline. The submission deadline is March 21, 1986. Applicants will be notified of review decisions by July 15, 1986. The earliest possible start date for research fellowship support will be September 1, 1986.

Criteria for review

Applications will be reviewed by a committee which will include non-Federal consultants from appropriate scientific fields. The committee will use the following criteria in evaluating applications: (1) the applicant's past academic and research accomplishments, (2) the applicant's research goals, (3) the research training proposed, (4) the qualifi-

cations of the sponsor and the appropriateness of the training environment, (5) the reference reports and other relevant information. NCHSR will consider the recommendations of the review committee, program interests, and the availability of funds in making the final selection of awardees.

Stipends and other training costs

Research fellowship awards include a stipend for the fellow and an allowance to the sponsoring institution.

The stipend level is determined by the number of years of relevant postdoctoral experience at the time the award is issued. Relevant experience may include research experience, teaching, internship, residency, or other time spent in full-time studies in a health-related field beyond that of the qualifying doctoral degree. Current postdoctoral stipends are:

Years of relevant experience	Annual stipend
0	15,996
1	17,004
2	21,996
3	23,004
4	24,000
5	26,004
6	27,996
7 or more	30,000

NCHSR will provide up to $3,000 per 12-month period to non-Federal sponsoring institutions to cover such awardee expenses as tuition and fees, health insurance, research supplies, equipment, travel to scientific meetings, and related items. No allowance is provided for dependents or for an individual's travel to the training site.

Taxability of stipends. The Internal Revenue Service ruled in 1983 that National Research Service Awards are scholarship or fellowship grants under section 117 of the Internal Revenue Code. Section 117 is that part of the Code which applies to the tax treatment of all scholarships and fellowships. In general, it provides that degree candidates

may exclude the full amount of scholarships or fellowships from their gross income for purposes of taxation, and non-degree candidates may exclude up to $300 a month of such awards for up to 36 months. The interpretation and implementation of the tax laws are the domain of the Internal Revenue Service and the courts. Individuals should consult an IRS office about the applicability of their situations and for information on the proper steps to be taken regarding their tax obligations.

Conditions of the award

Fellowships are awarded for full-time research training. However, it is recognized that there is a close interrelationship between teaching and research in the academic environment. Fellows are permitted, with the approval of the sponsor, to undertake teaching that can contribute meaningfully to their academic training. Any teaching undertaken by a fellow should not require more than 10 percent of work time during the year nor exceed 4 hours per week.

NRSA stipends may be supplemented by the sponsoring institution from non-Federal funds. No Federal funds may be used for stipend supplementation unless specifically authorized under the terms of the program from which funds are derived. Under no circumstances may the conditions of stipend supplementation detract from or prolong the training.

A NRSA research fellowship may not be held concurrently with another Federally sponsored fellowship or similar Federal award that provides a stipend or otherwise duplicates provisions of the NRSA. However, an individual may accept concurrent educational remuneration from the Veterans Administration (for example, G.I. Bill) and Federal loan funds.

Activation. An awardee has up to 6 months from the date of issue of the award notice to activate the award.

Payback provision. Before an award is made, the selectee must sign an agreement to fulfill the legislatively mandated payback requirements. Recipients must agree to engage in full-time health services research and/or teaching for a period equal to the period of NRSA support in excess of 12 months. Once an individual has had 12 months of postbaccalaureate NRSA support, all subsequent NRSA support is subject to payback.

Recipients must begin to undertake the obligated service on a continuous basis within 2 years after termination of NRSA support. For individuals who fail to fulfill their obligation through service, the United States is entitled to recover the total amount paid to the individual for the obligated period, plus interest. Financial repayment must be completed within 3 years.

Under certain conditions, the Secretary of Health and Human Services may extend the period for undertaking service or for repayment, permit breaks in service, or otherwise waive or suspend the payback obligation of an individual.

Institutional National Research Service Awards

The authority for NRSA predoctoral and postdoctoral research training grants is Section 472 of the Public Health Service Act, as amended (42 USC 289 l-1). Title 42 of the *Code of Federal Regulations*, Part 66, and the *Public Health Service Grants Policy Statement* are applicable.

The purpose of these awards is to assist domestic institutions in providing predoctoral and postdoctoral trainee support for academic training as well as experience in the application of research methods to the systematic analysis and evaluation of the organization, financing, and delivery of health care services.

The intent is to maximize the number of postdoctoral candidates to be supported. NCHSR will continue to provide predoctoral support through the Dissertation Research Grant Program. But, recognizing the program advantages of training a mixture of predoctoral and postdoctoral candidates, NCHSR will permit institutions to select either, **subject to a ratio of not more than two predoctoral candidates for each postdoctoral student receiving support.** Applications concentrating on postdoctoral training are encouraged.

Applications which propose to use minimal grant funds for faculty or program support costs are more likely to be funded. Although the addition of some faculty may be appropriate, funds awarded should not be used as a substitute for existing funds available to the institution. The awards are intended to support individual trainees, not to develop institutional programs in health services research.

Health services research deals with a broad range of issues, perspectives and methods pertinent to understanding and modifying health care systems. Systematic analysis and evaluation of the organization, financing, utilization and delivery of health care services often require collaborative efforts among various disciplines, employment of empirical approaches, and analysis of complex data sets. Applied health services research draws on a variety of conceptual and statistical models to address policy issues.

Predoctoral and postdoctoral training in health services research can contribute to the resolution of systemic and policy problems in several areas. NCHSR's extramural program addresses the entire range of issues around the organization, financing, and delivery of health services, with particular interest in primary care/health promotion and disease prevention, technology assessment, the role of market forces in health care delivery, and studies relevant to issues faced by State and local governments.

Research training should provide the conceptual and methodological foundation to empirically address, for example, such concerns as:

- Primary care issues, including the development of techniques to measure the effectiveness of follow-up care and to assess patient compliance
- Survey design and methods, and applied computer science
- The relationships between the allocations of health care resources and their effects on health status
- The factors affecting the dissemination and transfer of health care technologies, and the design of new methods to assess these technologies
- Protocols involved in cost-effectiveness and cost-benefit analyses
- Health problems of the frail and elderly population in order to identify and explain differences in the costs, quality of care, and organizational arrangements in caring for this population, studying such factors as the sources of funding, alternative modes of care, and the availability and nature of care provided by physicians and other providers, including informal support
- Epidemiology of chronic illness, geriatric medicine, and health economics.

Eligibility

NCHSR awards NRSA predoctoral and postdoctoral research training grants to qualified domestic, nonprofit, public or private institutions to expand training programs designed to develop competent investigators in the methods and techniques of conducting health services research. The emphasis is on student support for multidisciplinary training rather than on institutional development. Individuals to be trained at the postdoctoral level must have received, as of the beginning date of the NRSA appointment, a Ph.D., M.D., or other relevant doctoral degree, or an equivalent degree from an accredited domestic or foreign institution. Certification by an authorized official of the degree-granting institution that all requirements for the doctoral degree have been met is acceptable.

Predoctoral trainees must have received a baccalaureate degree as of the beginning date of their NRSA appointment, and must be training at the postbaccalaureate level in a program leading to the award of doctor of philosophy or science, or an equivalent degree. Individuals who wish to interrupt their medical studies for a year or more to engage in full-time research training before completing their medical degree also are

eligible. Awards may not support study leading to the M.D.; neither may these awards support residency training.

The training program director at the institution will be responsible for the selection and appointment of trainees to receive the awards, and for the overall direction of the program. The training program must provide opportunities for individuals to carry out supervised health services research with the primary objective of extending their skills and knowledge. Special attention should be given to the appointment of minority students and women.

All trainees must, at the time of appointment, be citizens of the United States, or noncitizen nationals, or noncitizens who have been lawfully admitted to the United States for permanent residence and have in their possession an Alien Registration Receipt Card (I-151 or I-551). (Noncitizen nationals are persons who, although not citizens of the United States, owe permanent allegiance to the United States. They are generally persons born in lands which are not States, but which are under United States sovereignty, jurisdiction, or administration, as for example, American Samoa.) Individuals on temporary or student visas are not eligible.

Applications

Period of support. Institutional grants may be made for competitive segments of up to 5 years and are renewable. However, no individual trainee may receive more than 5 years of aggregate NRSA support at the predoctoral level and 3 years of aggregate NRSA support at the postdoctoral level, including any combination of support from institutional training grants and individual research fellowships. Any exception to this policy requires a waiver from NCHSR.

Documents to be submitted. Institutions must submit the original and 6 copies of Public Health Service form PHS 6025-1, Training Grant Application, to NCHSR at one of the following addresses:

Using the U.S. Postal Service, the address is:

Chief, Review and Advisory Services Program
(NRSA Training Grants)
National Center for Health Services Research
and Health Care Technology Assessment
1-52 Park Building
Rockville, MD 20857; 301/443-2345

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National Center for Health Services Research
and Health Care Technology Assessment
1-52 Park Building
12420 Parklawn Drive
Rockville, MD 20852; 301/443-2345

Do not mail applications to the Division of Research Grants (DRG), NIH.

Application material is available from NCHSR, Chief, Review and Advisory Services Program.

Submission deadline. The submission deadline is Tuesday, April 1, 1986. Applicants will be notified of review decisions by July 15, 1986. The earliest start date for research training grant support will be September 1, 1986.

Criteria for review

Institutional applications will be reviewed by a committee which will include non-Federal consultants who are selected from appropriate scientific fields. Each application should address: (1) the subject area or areas in which the proposed research or training will be conducted; (2) the resources and facilities available to students in carrying out the research or training; and (3) the names, qualifications, and experience of the program director and principal staff members who will be responsible for the proposed program.

The criteria to be used in the review of applications are:

- The goals of the proposed training program and the probability of achieving them
- The substantive content of the proposed program, including courses offered
- The qualifications and responsibilities of the program director
- The qualifications of the program's faculty, including current active engagement in health services research
- The history of the research program regarding its ability to recruit qualified trainees, and their subsequent productivity in health services research

- The extent of institutional participation in the program through its provision of necessary space, curriculum time, financial support and appropriate facilities
- Documented cooperation of related agencies in providing experience and research training sites for trainees
- The number of students for which support is requested
- Proposed methods for monitoring and evaluating the performance of trainees, as well as the overall program
- The reasonableness of the proposed budget in relation to the proposed research training.

Stipends and other training costs

The current stipend for predoctoral individuals at all levels of experience is $6,552 per annum.

For postdoctoral awards, the stipend for the first year of support is determined by the number of years of relevant postdoctoral experience at the time of appointment. Relevant experience may include research experience, teaching, internship, residency, or other full-time studies in a health-related field beyond that of the qualifying doctoral degree. The stipend for each additional year of NRSA support is the next level in the stipend structure. Current postdoctoral stipends are:

Years of relevant experience	Annual stipend
0	15,996
1	17,004
2	21,996
3	23,004
4	24,000
5	26,004
6	27,996
7 or more	30,000

Taxability of stipends. The Internal Revenue Service ruled in 1983 that National Research Service Awards are scholarship or fellowship grants under section 117 of the Internal Revenue Code. Section 117 is that part of the Code which applies to the tax treatment of all scholarships and fellowships. In general, it provides that degree candidates

may exclude the full amount of their scholarships or fellowships from their gross income for purposes of taxation, and non-degree candidates may exclude up to $300 a month of such awards for up to 36 months.

The interpretation and implementation of the tax laws are the domain of the Internal Revenue Service and the courts. Individuals should consult their IRS office about the applicability to their situations and for information on the proper steps to be taken regarding their tax obligations.

Conditions of the award

NRSA stipends may be supplemented by an institution from non-Federal funds. No Federal funds may be used for stipend supplementation unless specifically authorized under the terms of the program from which funds are derived. Under no circumstances may the conditions of stipend supplementation detract from or prolong the training.

Tuition, fees and medical insurance are allowable trainee costs if such charges are required of all persons in a similar training status at the institution, without regard to their source of support. Tuition at the postdoctoral level is limited to that required for specific courses in support of the approved training program. Costs of trainee travel may be requested, including attendance at scientific meetings which the institution determines to be necessary to the individual's training.

Institutional costs of up to $1,500 for each predoctoral trainee and up to $2,500 per year for each postdoctoral trainee may be requested to defray the costs of training-related expenses, such as staff salaries, consultant costs, equipment, research supplies, staff travel, and other expenses. The availability of funds may modify the maximum level of institutional costs awarded. An indirect cost allowance based on 8 percent of total allowable direct costs, or actual indirect costs, whichever is less, may be requested. Applications from State and local government agencies may request full indirect cost reimbursement.

Trainees are required to pursue their research training on a full-time basis. However, it is recognized that there is a close interrelationship between teaching and research in the academic environment. Trainees are permitted, with the approval of the sponsor, to undertake teaching that can contribute meaningfully to their academic training. Any teaching undertaken by a trainee should not require more than 10 percent of work time during the year nor exceed 4 hours per week.

Payback provision. Before individual trainees can be appointed to a training grant, they must sign an agreement that they will fulfill the NRSA payback requirements. This requires recipients to agree to engage in full-time health services research and/or related teaching for a period equal to the period of NRSA support in excess of 12 months. Once an individual has had 12 months of postbaccalaureate NRSA support, all subsequent NRSA support is subject to payback.

Recipients must begin to undertake the obligated service on a continuous basis within 2 years after termination of NRSA support. For individuals who fail to fulfill their obligation through service, the United States is entitled to recover the total amount paid to the individual for the obligated period, plus interest. Financial payment must be completed within 3 years.

Under certain conditions, the Secretary of Health and Human Services may extend the period for undertaking service or for repayment, permit breaks in service, or otherwise waive or suspend the payback obligation of an individual.

The requirements of Executive Order 12372 are not applicable to NCHSR training grant programs.

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Public Health Service
National Center for Health Services Research and Health Care Technology Assessment
1-46 Park Building
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